Staff TMF Capacity Evaluation Form for New Noncommunity Water Systems

Department of Health Services
Drinking Water Field Operations Branch

Water System Name:	System No.:
Evaluation Performed By:	Date:

System Type: ☐ New Nontransient-noncommunity ☐ New Transient-noncommunity

Source Type: ☐ Surface Water
☐ Groundwater

Sources of Information:

☐ Department files.

☐ TMF Capacity Assessment Form. *Date of form:*_____

☐ Field Inspection. *Date of inspection:*_____

☐ Water System Personnel. *Provide Name(s) & Title(s):*

_____

_____

_____

☐ Other: _____

_____

☐ Returned to the water system for more information. Date:_____

Definitions:

NT = Nontransient-noncommunity Water System

T = Transient-noncommunity Water System
M = Mandatory. Compliance is required at the time of permit application.

N = Necessary. Compliance will be required within a specified time frame.

R = Recommended. Compliance is encouraged, but not required.

N/A = Not Applicable. Compliance is not applicable.

Technical Capacity - Mandatory

A. System Description

	NT	T
New Systems:	M	M

1. Has the water system established a procedure to ensure "as-built" plans or drawings are prepared and maintained for all new facilities?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

2. Does the water system have a map showing the location of the system's existing service area, each water source, treatment facility, pumping plant, reservoir and pressure zone in the system?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

3. If the water system is expanding its service boundaries, does the service area map include the projected growth boundaries?

   ☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

   Comments:_____

   _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

_____

If "No" or "Insufficient information" is checked in the above section, return to water system. A permit cannot be issued.

B. Source Capacity Assessment and Evaluation

	NT	T
New Systems:	M	R

1. Has the water system developed:

   a) A 10-year growth projection of the water system service area and customer base that is consistent with local land use plans.

      ☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

   b) A 10-year projection of water demand.

      ☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments:_____

_____

2. Has the water system performed an analysis of the capacity of the water source(s) to meet this demand that includes the following information:

   a) Estimates of amount of water needed to serve the annual and maximum day demand.

   b) A description and yield analysis for each surface water source that is currently being used or that you propose to use to meet the projected water demand on your system.

   c) Description of each groundwater source used or proposed to be used including groundwater levels, draw down patterns and sustained well yield.

   d) Existing source-pumping capacity together with raw and finished water storage.

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

3. Does the water system have sufficient water supply to reliably supply current customers and the projected growth (if any)?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

4. Does the water system have a procedure to assess increasing concentrations in water quality constituents from source water quality monitoring data?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

5. Does the water system have a map that identifies and locates all major contamination hazards, actual or potential, within the system's service area or in adjacent areas that might impact the system's water source(s)? (e.g., waste disposal sites, landfills, animal feedlots, etc.)

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

6. Has the water system conducted an assessment of the drinking water source that meets the requirements of California's Drinking Water Source Assessment and Protection Program?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

_____

For Non-transient systems, If "No" or "Insufficient information" is checked in the above section, return to water system. A permit cannot be issued.

C. Technical Evaluation Consolidation/Restructuring

	NT	T
New Systems:	M	M

1. Has the water system identified all existing public water systems located in the immediate proximity of the proposed water system?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

2. Has the water system examined the feasibility of incorporating into an existing water system or being owned, operated or managed by a satellite agency?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

3. Does the water system have a technical engineering evaluation of the system facilities with respect to its capacity to reliably meet current and formally proposed drinking water standards? *(If No, skip to Question 5)*

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

4. Does the engineering evaluation adequately assess:

   a) The system's ability to comply with the waterworks standards.

   b) The water system's ability to accurately and continuously measure the quantity of water produced from each water source, except emergency or standby sources, in order to determine total production.

   c) The distribution system's design capacity and operational ability to provide the pressure specified in Section 64566, Title 22 of the California Code of Regulations.

   d) All treatment facilities for their ability to reliably produce water that meets water quality standards and their capacity to meet maximum system demand.

   e) The existing system storage for its capability to provide water to maintain the pressure specified in Section 64566, Title 22 of the California Code of Regulations throughout the distribution system under daily demand fluctuations, peak daily and peak monthly demands.

☐ Yes ☐ No ☐ Information Insufficient

Comments:_____

_____

5. Does the water system have production meters that allow accurate and continuous measurement of the quantity of water flow from each source, except emergency or standby sources?

☐ Yes ☐ No ☐ Information Insufficient

Comments:_____

_____

6. Is the water system operated to maintain provide the pressure specified in Section 64566, Title 22 of the California Code of Regulations under all normal service conditions?

☐ Yes ☐ No ☐ Information Insufficient

Comments:_____

_____

7. Do water system treatment facilities reliably produce water that meets the appropriate water quality standards?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments:_____

_____

8. Does the water system have sufficient storage volume to maintain the pressure specified in Section 64566, Title 22 of the California Code of Regulations throughout the distribution system under maximum system demands?

☐ Yes ☐ No ☐ Information Insufficient

Comments:_____

_____

9. If the water system is proposing to expand its existing service area boundaries within the 10-year planning period, or is currently experiencing pressure problems, has an adequate hydraulic analysis or pressure survey been conducted of the transmission and distribution system to ensure reliable compliance with pressure standards under maximum demand conditions?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments:_____

_____

10. If any of the facilities are existing, an evaluation of the condition and remaining service life of existing facilities?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments:_____

_____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

_____

_____

If "No" or "Insufficient information" is checked in the above section, return to water system. A permit cannot be issued.

Managerial Capacity - Mandatory

D. Ownership

	NT	T
New Systems:	M	M

1. Is the water system ownership a legal entity empowered by the State of California to manage and operate the public water system?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

2. If the water system is under temporary ownership (e.g. a developer), has the eventual ownership and timing for the change in ownership been addressed?

   ☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

   Comments:_____

   _____

3. Are the duration of any agreements for use of land or facilities not owned by the water system sufficient to ensure that the water system can continue to operate its facilities, providing an uninterrupted and reliable source of water to its customers?

   ☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

   Comments:_____

   _____

4. In the case of a sole owner, has the water system adequately addressed how the system will continue to be operated in the event the owner becomes incapable of carrying out this responsibility?

   ☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

   Comments:_____

   _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

_____

_____

If "No" or "Insufficient information" is checked in the above section, return to water system. A permit cannot be issued.

E. Organization

	NT	T
New Systems:	M	M

1. Does the water system have an organization chart?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

2. Are there clear lines of responsibility and authority for those who are responsible for policy decisions, for ensuring compliance with state regulatory drinking water requirements and for day to day operations of the system?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

3. Do persons responsible have sufficient time dedicated to operation of the water system and all treatment facilities?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

4. Does the water system have enough operators to adequately operate all water system facilities?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

5. For systems with boards or councils, is the frequency of meetings adequate?

   ☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

   Comments:_____

   _____

6. If management and/or operation of the system are contracted, are the roles, responsibilities, and authorities clearly specified such that the water system can be reliably operated?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments:_____

_____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

_____

_____

If "No" or "Insufficient information" is checked in the above section, returned to water system. A permit cannot be issued.

F. Water Rights

	NT	T
New Systems:	M	M

1. Does the water system have the legal basis and authority to divert or extract water?

☐ Yes ☐ No ☐ Information Insufficient

Comments:_____

_____

2. If the water system is extracting water from an adjudicated groundwater basin, has approval been demonstrated by confirming documents from the basin water master?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments:_____

_____

3. Is the water right sufficient to provide water for current users?

☐ Yes ☐ No ☐ Information Insufficient

Comments:_____

_____

4. If needed, does the water system have an adequate plan and a schedule for obtaining additional water rights to serve projected growth?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments:_____

_____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

_____

_____

If "No" or "Insufficient information" is checked in the above section, return to water system. A permit cannot be issued.

Financial Capacity - Mandatory

G. Budget Projection

	NT	T
New Systems:	M	M

1. Does the water system have a five-year projection of anticipated expenses?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

2. Does the five-year projection appear reasonable?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

_____

_____

If "No" or "Insufficient information" is checked in the above section, return to water system. A permit cannot be issued.

Technical Capacity - Necessary

H. Operations Plan

	NT	T
New Systems:	N	N

1. Does the water system have an acceptable operations plan that addresses how the system will be operated to comply with drinking water requirements and the waterworks standards?

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

   _____

2. Does the plan adequately address the following elements:
   a) Operational objectives.
   b) Daily operational practices.
   c) Emergency operational practices
   d) Flushing dead-end mains.
   e) Reservoir inspections and cleaning.
   f) Main repair and replacements.
   g) Responding to consumer complaints.
   h) Maintenance and testing of backflow prevention devices.
   i) Inspecting and exercising water main valves.
   j) Maintenance of master flow meters.
   k) Responsibilities, qualifications, and training of operating personnel.
   l) Operation of all production, treatment, and transmission and distribution facilities.
   m) Record keeping.

   ☐ Yes ☐ No ☐ Information Insufficient

   Comments:_____

3. For systems utilizing a surface water source: Does the water system have a Department approved Surface Water Treatment Rule (SWTR) operations plan?

   ☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

   Comments:_____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

I. Certified/Qualified Operators

	NT	T
New Systems:	N	N

1. Does the water system have an appropriately graded state water treatment operator(s) in accordance with state regulations?

   ☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

   Comments:_____

2. If the water system has no treatment plant (i.e. distribution only), does it have an appropriately graded distribution system operator(s), in accordance with state regulations?

☐ Yes ☐ No ☐ Information Insufficient ☐ N/A Transient system with no treatment or disinfection.

Comments:_____

_____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

_____

Managerial Capacity - Necessary

J. Emergency/Disaster Response Plans

	NT	T
New Systems:	N	N

1. Does the water system have an acceptable Emergency/Disaster Response Plan that addresses water outages, contamination, and other emergency situations that have historically occurred in the water system's service area?

☐ Yes ☐ No ☐ Information Insufficient

Comments:_____

_____

2. Does the plan adequately address the following elements:

a) All disasters/emergencies that have historically occurred in the water system's service area.

b) Designation of responsible personnel and provision of a clear chain of command and responsibilities.

c) Inventory of system resources that are used for normal operations and available for emergencies.

d) Communication network that describes a designated location for an emergency operations center; emergency contact information for equipment suppliers; emergency phone and radio communication capabilities; coordination procedures with governmental agencies for health and safety protection, technical, legal and financial assistance; and public notification procedures.

e) Emergency procedures to assess damage to water system facilities, analyze logistics on emergency supply activation and repairs, monitor progress of repairs and restoration, communicate with health officials and water users, and document damage and repairs.

f) Steps that will be taken to resume normal operations and to prepare and submit reports to appropriate agencies.

Note: For noncommunity water systems – a plan for ceasing operation until the water system is restored would be an acceptable alternative to items b, c, and d.

☐ Yes ☐ No ☐ Information Insufficient

Comments:_____

_____

Technical Assistance Needed: ☐ Yes ☐ No

Describe:_____

_____

_____

TMF Capacity Summary

☐ Water system has adequate TMF Capacity.

☐ Water system does not have adequate TMF Capacity, but can achieve it within a reasonable time period.

☐ Water system does not have adequate TMF Capacity. Operating permit and/or application for SRF funding should be denied.

Summary of Conclusions and Recommendations:

List of Needed Technical Assistance: